



## ARIZONA DEPARTMENT OF FINANCIAL INSTITUTIONS

Robert D. Charlton  
Superintendent

Douglas A. Ducey  
Governor

April 2, 2018

The Honorable Douglas A. Ducey  
Governor of the State of Arizona  
Arizona State Capitol  
1700 W. Washington Street  
Phoenix, AZ 85007

Dear Governor Ducey,

Enclosed is the Arizona Department of Financial Institutions' (AZDFI) 2018 Equal Opportunity Plan. The Plan reflects our continuing commitment to ensure that all individuals have equal access to employment opportunities within AZDFI and that all employees enjoy a working environment free from discrimination, harassment and intimidation. AZDFI continues its commitment to be an equal opportunity employer and to continue to foster diversity within the agency at large. AZDFI will commit to following the approved plan and adhere to the strategic goals therein.

You can be assured that the entire Arizona Department of Financial Institutions is fully committed to strive to meet the objectives outlined in our Equal Opportunity Plan.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert D. Charlton".

Robert D. Charlton  
Superintendent

RDC: rm

Enclosure: AZDFI Equal Opportunity Plan.



## ARIZONA DEPARTMENT OF FINANCIAL INSTITUTIONS

Robert D. Charlton  
Superintendent of Financial Institutions

Douglas A. Ducey  
Governor

### **NON-DISCRIMINATION POLICY**

The Department of Financial Institutions is committed to a work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunity and prohibits discriminatory practices, including harassment. Therefore, the Department of Financial Institutions commits itself to the attached Non-Discrimination policy.

- The Department of Financial Institutions has developed this policy to ensure that all its employees can work in an environment free from harassment, discrimination and retaliation.
- The Department of Financial Institutions will make every reasonable effort to ensure that all concerned are familiar with this policy and aware that any complaint of violation of such policies will be investigated and resolved appropriately.
- The Department of Financial Institutions will post its Equal Opportunity Policy Statement. This policy is available on the Department of Financial Institutions employee' intranet: S:\Webshare\DFIEmployees\home.html, website: [www.azdfi.gov](http://www.azdfi.gov) and on the bulletin board in the Building, located at 2910 North 44<sup>th</sup> St., Suite 310, Phoenix, AZ 85018 as well as on bulletin boards in other facilities.
- All employment announcements shall include the phrase:  
**"Arizona State Government is an EOE/ADA Reasonable Accommodation Employer"**

As Superintendent of the Department of Financial Institutions, I am committed to the principles of Equal Employment Opportunity. To ensure the dissemination and implementation of the Equal Opportunity Policy throughout all levels of the Department, Rick Mead shall serve as the Equal Opportunity Administrator for the Department of Financial Institutions. Rick Mead may be contacted at 602-771-2785 and rmead@azdfi.gov.

A handwritten signature of Robert D. Charlton.

Superintendent

A handwritten date "4/2/2018".

Date

Any employee who has any questions or concerns about this policy should talk with the Rick Mead at 602-771-2785 or the Governor's Office of Equal Opportunity,  
<http://azgovernor.gov/eop/index.asp>, 602-542-3711.



## ARIZONA DEPARTMENT OF FINANCIAL INSTITUTIONS

Robert D. Charlton  
Superintendent of Financial Institutions

Douglas A. Ducey  
Governor

### NON-DISCRIMINATION POLICY

In recognition of its legal and moral obligations, the Arizona Department of Financial Institutions hereby commits itself to a policy of non-discrimination as follows:

1. The Arizona Department of Financial Institutions shall not discriminate on the basis of race, color, religion, sex, age, disability, national origin, or any other characteristic protected by law. Equal Opportunity applies to such employment practices as hiring, upgrading, demotion, transfer, recruitment, advertising, layoff, termination, rates of pay or other forms of compensation, selection for training, job assignments, accessibility, working conditions and special duty details.
2. All Arizona Department of Financial Institutions management personnel shall actively support recruitment and career development programs to ensure equitable representation of minorities, females, seniors, LGBT and individuals with disabilities, special disabled veterans and Vietnam Era veterans in all job categories and pay grades.
3. The Arizona Department of Financial Institutions shall not tolerate discrimination in the agency as it creates an intimidating, degenerating, hostile and offensive working environment. Each employee has an affirmative duty to maintain a workplace free of harassment, intimidation, discrimination. The Arizona Department of Financial Institutions prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.
4. The Department will post the Non-Discrimination Policy throughout departmental facilities.
5. All written bid announcements, request for proposals, employment announcements, requests for applications, program brochures, literature and general solicitations shall include the phrase:

**"Arizona State Government is an EOE/ADA Reasonable Accommodation Employer"**

The Arizona Department of Financial Institutions is committed to ensuring that all its employees can work in an environment free from harassment, discrimination and retaliation.

This policy is accessible to employees on AZDFI's website ([www.azdfi.gov](http://www.azdfi.gov)) and in hard copy on the Employee Bulletin Boards at 2910 N. 44<sup>th</sup> St., Suite 310, Phoenix, AZ 85018.

A handwritten signature of Robert D. Charlton.

Robert Charlton, Superintendent

*4/2/2018*

Date

Any employee who has questions or concerns about this policy should talk with Rick Mead, AZDFI HR Specialist, or the Governor's Office of Equal Opportunity, <http://azgovernor.gov/eop/index.asp> or (602) 771-2785

**DEPARTMENT OF FINANCIAL INSTITUTIONS (DFI)**  
**CONTACT INFORMATION**  
**2018 EEO PLAN**

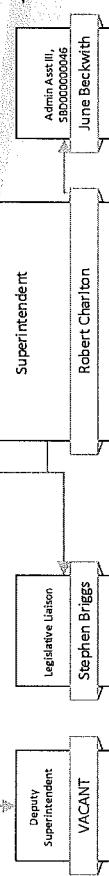
**EEO ADMINISTRATOR**

**Rick Mead**  
**HR Representative**  
**(602) 771-2785**  
**rmead@azdfi.gov**

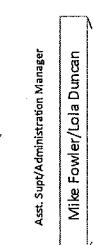
**ADMINISTRATION DIVISION MANAGER**

**Mike Fowler**  
**Assistant Superintendent, Administration**  
**(602) 771-2781**  
**mfowler@azdfi.gov**

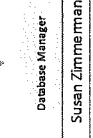
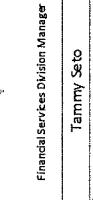
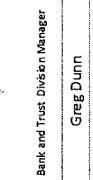
# Arizona Department of Financial Institutions



Ast. Supv/Administration Manager



Licensing and Consumer Affairs Division Manager



Database Manager

Mortgage Lending Division Manager

System/lan Admin sr

Dave Lovallo

Susan Zimmerman

Diane Scott

Admin Asst.

VACANT

FI Exmr Sr.

FI Exmr Jr.

Mainlin Alexander

VACANT

Contract Exmr

Tawnya Webel

Jeremy Baraff

VACANT

Investigator

Linda Beatty

VACANT

Richard Ferguson

VACANT

Monica Minns

Temp

Uliana Lafos

VACANT

Appraiser Spec.

Natalia Smith

VACANT

FI Exmr JmY

Card Foster

VACANT

FI Exmr Sr

Rachel Dennis

VACANT

FI Exmr JmY

Lori Cardenas

VACANT

CSR-2

Teresita Brooks

VACANT

CSR-2

Mary Cisneros

VACANT

CSR-2

Fernando Dominguez

VACANT

CSR-2

Bill Frank

VACANT

CSR-2

Jay DeArastia

VACANT

CSR-2

Oliver Quintin

VACANT

CSR-2

Erica Martinez

VACANT

CSR-2

Larita Rojas

VACANT

CSR-2

Tim Romero

VACANT

REAU/AD/Ass't III

Jessica Sipio

VACANT

FE Licensing

Arthur Reyes

VACANT

HR Specialist AZDIF/DOE shared

Rick Wead

March 14, 2018

# EEO-4 REPORT 2018 WITH STRATEGIC PLAN

AGENCY CODE	Agency	FTE Count	Director	Director Email	Director Phone
BD	Department of Financial Institutions	51	Robert Charlton	Rcharlton@azdfi.gov	(602) 771-2770
HR Manager	HR Email	HR Phone	EO Liaison	EO Email	EO Phone
Mike Fowler	mfolwer@azdfi.gov	602-771-2781	Rick Mead	rmead@azdfi.gov	602-771-2785

Directions: Complete Part I and Part II as directed, and submit this form with all supporting documents.

<b>PART I DISCRIMINATION FREE WORKPLACE MEASURES</b>		Fully Performed	Partially Performed	Not Performed
1. Cover Letter to the Governor <ul style="list-style-type: none"> <li>• Non-discrimination affirmation</li> <li>• Signed by the Director</li> <li>• Letterhead</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
2. Non-discrimination Policy Statement <ul style="list-style-type: none"> <li>• Signed by agency Director</li> <li>• Includes physical location descriptions where the policy is posted</li> <li>• Includes website address and location description where policy is posted</li> <li>• EOE/ADA Employer language</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
3. Agency Nondiscrimination Policy <ul style="list-style-type: none"> <li>• Actual policy attached</li> <li>• Policy updated as laws change</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
4. Agency Organization Chart <ul style="list-style-type: none"> <li>• Identifying the reporting structure of agency EO personnel</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
5. Complaint Data Form <ul style="list-style-type: none"> <li>• Identifying complaint data</li> <li>• Contact information of EO Liaison/EO Officer</li> <li>• Contact information of employee who reports charge letters to GOEO</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
6. HRIS XP391 REPORT <ul style="list-style-type: none"> <li>• Including list of employees excluded in report</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.
7. Agency Highlights and Successes Narrative (Optional)		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PART II EQUAL OPPORTUNITY STRATEGIC PLAN</b>		Fully Performed	Partially Performed	Not Performed
8. Agency Equal Opportunity Report Strategic Plan: <ul style="list-style-type: none"> <li>• GOEO Poster posted in public areas</li> </ul>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Attach an explanation.

# EEO-4 REPORT 2018 WITH STRATEGIC PLAN

Directions: Create a one sentence SMART goal for each measure below:  
Who will perform the goal, what will be done, how will success be measured, and when will work be finished?

## Part II

## 2018 STRATEGIC GOALS

GOAL I	<b>POLICY COMPLIANCE SMART GOAL:</b> AZDFI Management and HR Staff will complete policy review and track annual training, using training compliance and calendaring for established metrics, in order to establish standardized knowledge across the agency by the end of CY 2018.
GOAL II	<b>PROGRAM ACCOUNTABILITY SMART GOAL:</b> AZDFI Management and HR Staff will review EEO reports monthly (pending new hires and departmental changes) to ensure that EEO plan is in place for hiring, retention, and complaint processes on ongoing review through CY 2018.
GOAL III	<b>DISCRIMINATION PREVENTION SMART GOAL:</b> HR Staff will conduct or facilitate annual review and training on discrimination policy with all staff to ensure uniform compliance on all work factors including hiring, retention, and overall employee relationships. Completed by end of CY 2018.
GOAL VI	<b>COMPLAINT PROCESS SMART GOAL:</b> HR Staff will review the EEO complaint process quarterly for the department and determine effectiveness and efficiency through process mapping and timeline development throughout CY 2018 (dependant upon work flow, new hires, and departmental changes).
GOAL V	<b>CONFLICT MANAGEMENT SMART GOAL:</b> AZDFI Management and HR staff, with the help of managers and supervisors, will develop a conflict management template to ensure that managers and supervisors have access to conflict management strategies that include factors of diversity and compliance. To be completed by end of CY 2018.
GOAL VI	<b>WORKPLACE DIVERSITY SMART GOAL:</b> AZDFI Management and HR Staff will work to make workplace diversity a priority by analyzing EEO HRIS reports on a quarterly basis and accurately reporting data in compliance with state and federal mandates (pending new hires and departmental changes). Completed by end of CY 2018.

GOAL VII	<p><b>STAFF RESOURCES SMART GOAL:</b></p> <p>AZDFI Management and HR Staff will develop a resource plan to ensure that employees have access to any resource that is pertinent to EEO complaints, compliance issues, or employee conflicts. This is to be reviewed by all agency personnel on an ongoing basis to ensure access to resources and personnel. Complete by end of CY 2018.</p>
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## CY2018 Agency Complaint Data Form

Full Agency Name: Department of Financial Institutions		
EO Contact Name: Rick Mead		
Title	Phone	Email
HR Specialist	602-771-2785	rmead@azdfi.gov
Person in charge of communicating receipt of EEOC Charge Letters: Mike Fowler		
Title	Phone	Email
Administration Division Manager	602-771-2781	mfowler@azdfi.gov

Basis	Internal Complaints Total by Basis	Percent % of Total Internal by Basis	External Claims Total by Basis	Mediated Cases Total by Basis	Aged Cases Open > year Total by Basis	Closed Cases Total by Basis
Age	_____	_____	_____	_____	_____	_____
Disability	_____	_____	_____	_____	_____	_____
Equal Pay	_____	_____	_____	_____	_____	_____
Genetic Information	_____	_____	_____	_____	_____	_____
Harassment	_____	_____	_____	_____	_____	_____
Sexual Harassment	_____	_____	_____	_____	_____	_____
National Origin	_____	_____	_____	_____	_____	_____
Pregnancy	_____	_____	_____	_____	_____	_____
Race/Color	_____	_____	_____	_____	_____	_____
Religion	_____	_____	_____	_____	_____	_____
Retaliation	_____	_____	_____	_____	_____	_____
Sex	_____	_____	_____	_____	_____	_____
Cumulative TOTALS	0	100%	0	_____	_____	_____
How many EO complainants separated from employment?	0	0	0			
How many EO complainants were APPLICANTS?	0	0	0			
How many EO complainants held USERRA status?	0	0	0			

# SOA EEO-4 Report

## AGENCY HIRING SUMMARY BD - DEPT OF FINANCIAL INSTITUTIONS

Number of employees hired during 12/31/2016 - 12/31/2017

White	1	1	6
Asian	0	0	0
African American/Black	0	3	0
Hispanic	0	0	0
American Indian/Alaskan Native	1	0	0
Unspecified	0	10	0
Hawaiian/Pacific Islander	0	0	0
Multi	5	1	0
Female	0	0	0
Male	0	2	0
Individuals with Disability			
Age 40 and above	0	2	0
Veteran	0	0	0
Veterans with Disability			
Covered Employee (Merit system)	0	0	0
Uncovered Employee (FTE)	6	0	0

# SOA EEO-4 Report

XP391 Date: 03/14/18  
Time: 11:22

User Name: 1ds50414  
Job Name : ICIEOC17  
Step Nbr : 1

Main  
Company: 1 STATE OF ARIZONA  
Agency : BD DEPT OF FINANCIAL INSTITUTIONS

Period Ending: 123117  
Control Number: 11111

Functional Groups:

Ethnicity

White: WHIT  
Black or African American: BLCK  
Hispanic: HISP  
Asian: ASA  
American Indian or Alaska Native: AIND  
Hawaiian/Pacific Islander: HPAC  
Multi: TWOM



# SOA EEO-4 Report

REV. EEO-4 1995

STATE OF ARIZONA  
DEPT OF FINANCIAL INSTITUTIONS  
DEPARTMENT OF ADMINISTRATION  
PHOENIX

FUNCTIONS: 01 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00

CONTROL NUMBER 11111

Column Descriptions: A = Total, B = White,  
D and K = Hispanic, E and L = Asian,  
G and N = Hawaiian/Pacific Islander,  
H and O = Multi.

1. FULL-TIME EMPLOYEES (CONTINUED)

JOB CATEGORY	SALARIES	TOTAL A	MALE						FEMALE					
			B	C	D	E	F	G	H	I	J	K	L	M
PROTECT/SRVC'S	25	1- 15.9	0	0	0	0	0	0	0	0	0	0	0	0
	26	16.0- 19.9	0	0	0	0	0	0	0	0	0	0	0	0
	27	20.0- 24.9	0	0	0	0	0	0	0	0	0	0	0	0
	28	25.0- 32.9	0	0	0	0	0	0	0	0	0	0	0	0
	29	33.0- 42.9	0	0	0	0	0	0	0	0	0	0	0	0
	30	43.0- 54.9	0	0	0	0	0	0	0	0	0	0	0	0
	31	55.0- 69.9	0	0	0	0	0	0	0	0	0	0	0	0
	32	70.0 PLUS	0	0	0	0	0	0	0	0	0	0	0	0
Totals by Category														
By Male		0												
By Female		0												
PARA-PROF	33	1- 15.9	0	0	0	0	0	0	0	0	0	0	0	0
	34	16.0- 19.9	0	0	0	0	0	0	0	0	0	0	0	0
	35	20.0- 24.9	0	0	0	0	0	0	0	0	0	0	0	0
	36	25.0- 32.9	3	1	0	0	0	0	0	1	0	0	0	0
	37	33.0- 42.9	4	1	0	0	0	0	0	2	1	0	0	0
	38	43.0- 54.9	4	0	0	0	0	0	0	0	0	0	0	0
	39	55.0- 69.9	0	0	0	0	0	0	0	0	0	0	0	0
	40	70.0 PLUS	0	0	0	0	0	0	0	0	3	0	0	0
Totals by Category														
By Male		11	2	0	0	0	0	0	0	0	3	0	0	0
By Female		3	8	0	0	0	0	0	0	0	0	0	0	0
ADMINISTRATIVE SUPPORT	41	1- 15.9	0	0	0	0	0	0	0	0	0	0	0	0
	42	16.0- 19.9	0	0	0	0	0	0	0	0	0	0	0	0
	43	20.0- 24.9	0	0	0	0	0	0	0	0	1	0	0	0
	44	25.0- 32.9	1	0	0	0	0	0	0	0	1	0	0	0
	45	33.0- 42.9	1	0	0	0	0	0	0	0	0	0	0	0
	46	43.0- 54.9	1	0	0	0	0	0	0	0	0	0	0	0
	47	55.0- 69.9	0	0	0	0	0	0	0	0	0	0	0	0
	48	70.0 PLUS	0	0	0	0	0	0	0	0	0	2	0	0
Totals by Category														
By Male		2	0	0	0	0	0	0	0	0	0	0	0	0
By Female		2	0	0	0	0	0	0	0	0	0	0	0	0

# SOA EEO-4 Report

REV. EEO-4 1995

STATE OF ARIZONA  
DEPT OF FINANCIAL INSTITUTIONS  
DEPARTMENT OF ADMINISTRATION  
PHOENIX  
FUNCTIONS: 01 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00

STATE OF ARIZONA  
STATE AND LOCAL GOVERNMENT INFORMATION

2017 EEO-4 REPORT  
CONTROL NUMBER 11111

Column Descriptions: A = Total, B and I = White,  
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G and N = Hawaiian/Pacific Islander,

C and J = Black/African American  
F and M = American Indian/Alaska Native  
H and O = Multi-

FUNCTIONS: 01 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00

1. FULL-TIME EMPLOYERS (CONTINUED)

JOB CATEGORY	SALARIES	TOTAL	*****		*****		*****		*****		*****		*****		*****		*****	
			A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
SKILLED CRAFT	49	16.1-	15.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	50	16.0-	19.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	51	20.0-	24.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	52	25.0-	32.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	53	33.0-	42.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	54	43.0-	54.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	55	55.0-	69.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	56	70.0	PLUS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Totals by Category																		
By Male																		
By Female																		
SERV/MAINT	57	16.1-	15.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	58	16.0-	19.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	59	20.0-	24.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	60	25.0-	32.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	61	33.0-	42.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	62	43.0-	54.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	63	55.0-	69.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	64	70.0	PLUS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Totals by Category																		
By Male																		
By Female																		
Grand Totals																		
By Category	65	51	16	2	4	0	0	0	0	0	17	3	6	3	0	0	0	0
By Male		22																
By Female		29																

# SOA EEO-4 Report

REV. EEO-4 1995

## STATE OF ARIZONA DEPT OF FINANCIAL INSTITUTIONS DEPARTMENT OF ADMINISTRATION PHOENIX AZ 85007

PAGE 4

### STATE OF ARIZONA

### STATE AND LOCAL GOVERNMENT INFORMATION 2017 EEO-4 REPORT

FUNCTONS: 00 01 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00

Column Descriptions: A = Total, B and G = White,  
D and K = Hispanic, E and L = Asian,  
F and M = American Indian/Alaska Native  
G and N = Hawaiian/Pacific Islander,  
H and O = Multi

CONTROL NUMBER 11111

C and J = Black/African American  
F and M = American Indian/Alaska Native  
H and O = Multi

### 2. OTHER THAN FULL-TIME EMPLOYEES

JOB CATEGORY	SALARIES	TOTAL	MALE						FEMALE							
			A	B	C	D	E	F	G	H	I	J	K	L	M	N
OFFICIAL/ADM	66	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROFESSIONALS	67	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TECHNICIANS	68	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROTECT/SRVC'S	69	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PARA-PROF	70	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
ADMIN SUPPORT	71	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SKILLED CRAFT	72	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SERV/MAINT	73	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand Totals		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
By Category	74	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
By Male		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
By Female		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

### 3. NEW HIRES DURING FISCAL YEAR - PERMANENT FULL TIME ONLY

	TOTAL	NEW HIRES	5	0	0	0	0	0	0	0	0	0	0	0	0	0
OFFICIAL/ADM	75	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROFESSIONALS	76	2	0	0	0	0	0	0	0	0	0	0	1	0	0	0
TECHNICIANS	77	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PROTECT/SRVC'S	78	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PARA-PROF	79	3	0	0	0	0	0	0	0	0	0	1	0	2	0	0
ADMIN SUPPORT	80	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SKILLED CRAFT	81	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SERV/MAINT	82	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

TOTAL  
NEW HIRES

CERTIFICATION. I certify that the information given in this report is correct and true to the best of my knowledge and was reported in accordance with accompanying instructions.  
(Willfully false statements on this report are punishable by law, U. S. Code, Title 18, Section 1001.)

NAME OF PERSON TO CONTACT REGARDING THIS REPORT:

ADDRESS:

DATE: \_\_\_\_\_

TELEPHONE NUMBER (INCLUDE AREA CODE):

SIGNATURE OF CERTIFYING OFFICIAL:

## SOA EEO-4 Report

XP391 EEO-4 Exception Report - 3 Employees Not Included

Date 03/14/18  
Time 11:23

Company 1 STATE OF ARIZONA

Employee Name Reason for exclusion

152287	CISNEROS, MARY J.	UNSP ethnicity not in include list
152393	ROMERO, TIMOTHY E.	UNSP ethnicity not in include list
179267	PRIDGEN, TOMMY	UNSP ethnicity not in include list

DEPT OF FINANCIAL INSTITUTIONS  
 Workforce Analysis  
 Review of Calendar Year 2017  
 Utilization of Asian Americans

PAGE 1

Occupational Categories	Total Employees	Males	Females	Total	Total Percent CLF%	Parity Utilization	Parity Goal
OFFICIAL/ADM	5	0	0	0	0 .0%	3%	1
PROFESSIONALS	32	0	3	3	9.4%	5.8%	2
TECHNICIANS	1	0	0	0	0 .0%	5.3%	1
PROTECT/SRVCS	0	0	0	0	0 .0%	1.3%	0
PARA-PROF	11	0	0	0	0 .0%	1.2%	1
ADMIN SUPPORT	2	0	0	0	0 .0%	2.5%	1
SKILLED CRAFT	0	0	0	0	0 .0%	1.5%	0
SERV/MAINT	0	0	0	0	0 .0%	2.8%	0
Tot Agency Emp	51	0	3	3			

## SOA EEO-4 Report

**DEPT OF FINANCIAL INSTITUTIONS**  
**Workforce Analysis**  
**Review of Calendar Year 2017**  
**Utilization of African Americans**

PAGE 2

Occupational Categories	Total Employees	Total			Percent CLF%	Parity Utilization	Parity Goal
		Males	Females	Total			
OFFICIAL/ADM	5	0	0	0	0.0%	3.0%	1 BELOW PARITY
PROFESSIONALS	32	2	1	3	9.4%	3.8%	1 BELOW PARITY
TECHNICIANS	1	0	0	0	0.0%	3.4%	1 BELOW PARITY
PROTECT/SRVCS	0	0	0	0	0.0%	4.8%	0 PARITY
PARA-PROF	11	0	2	2	18.2%	2.2%	1 PARITY
ADMIN SUPPORT	2	0	0	0	0.0%	3.7%	1 BELOW PARITY
SKILLED CRAFT	0	0	0	0	0.0%	2.1%	0 PARITY
SERV/MAINT	0	0	0	0	0.0%	3.6%	0 PARITY
Tot Agncy Emp	51	2	3	5			

# SOA EEO-4 Report

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Hispanics

PAGE 3

Occupational Categories	Total Employees	Males	Females	Total Percent	CLF%	Parity Utilization	Parity Goal	
OFFICIAL/ADM	5	0	0	0.0%	14.1%	1 BELOW PARITY	1	
PROFESSIONALS	32	3	6	18.8%	11.6%	4 BELOW PARITY	0	
TECHNICIANS	1	0	0	0.0%	16.5%	1 BELOW PARITY	1	
PROTECT/SRVC'S	0	0	0	0.0%	22.6%	0 PARITY	0	
PARA-PROF	11	1	3	4	36.4%	14.7%	2 PARITY	0
ADMIN SUPPORT	2	0	0	0.0%	23.0%	1 BELOW PARITY	1	
SKILLED CRAFT SERV/MAINT	0	0	0	0.0%	39.3%	0 PARITY	0	
					42.3%	0 PARITY	0	
Tot Agency Emp	51	4	6	10				

## SOA EEO-4 Report

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Native Americans

PAGE 4

Occupational Categories	Total Employees	Males	Females	Total Percent	CLF%	Parity Utilization	Parity Goal
OFFICIAL/ADM	5	0	0	0	0.0%	1.6%	1
PROFESSIONALS	32	0	0	0	0.0%	2.1%	1
TECHNICIANS	1	0	0	0	0.0%	2.7%	1
PROTECT/SRVC'S	0	0	0	0	0.0%	4.4%	0
PARA-PROF	11	0	0	0	0.0%	8.3%	1
ADMIN SUPPORT	2	0	0	0	0.0%	2.6%	1
SKILLED CRAFT	0	0	0	0	0.0%	3.3%	0
SERV/MAINT	0	0	0	0	0.0%	4.0%	0
Tot Agency Emp	51	0	0	0	0	0	0

# SOA EEO-4 Report

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Non Minority

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Occupational Categories	Total Employees	Males	Females	Total Percent CLF%	Parity Utilization	Parity Goal
OFFICIAL/ADM	5	3	2	5 100.0%	0.0%	*
PROFESSIONALS	32	10	20	20 62.5%	0.0%	*
TECHNICIANS	1	1	0	1 100.0%	0.0%	*
PROTECT/SRVCS	0	0	0	0 0.0%	0.0%	*
PARA-PROF	11	2	3	5 45.5%	0.0%	*
ADMIN SUPPORT	2	0	2	2 100.0%	0.0%	*
SKILLED CRAFT	0	0	0	0 0.0%	0.0%	*
SERV/MAINT	0	0	0	0 0.0%	0.0%	*
Tot Agency Emp	51	16	17	33		
* NOT APPLICABLE						

Occupational Categories	Total Employees	Males	Females	Total	Total Percent	CLF%	Parity	Utilization	Parity Goal
OFFICIAL/ADM PROFESSIONALS	5	3	0	3	60.0%	0.0%	*	*	*
TECHNICIANS	32	15	0	15	46.9%	0.0%	*	*	*
PROTECT/SRVCS	1	1	0	1	100.0%	0.0%	*	*	*
PAPA-PROF	0	0	0	0	0.0%	0.0%	*	*	*
ADMIN SUPPORT	11	3	0	3	27.3%	0.0%	*	*	*
SKILLED CRAFT	2	0	0	0	0.0%	0.0%	*	*	*
SERV/MAINT	0	0	0	0	0.0%	0.0%	*	*	*

Tot Agency Emp  
\* NOT APPLICABLE

# SOA EEO-4 Report

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Females

PAGE 7

Occupational Categories	Total Employees	Males	Females	Total	Percent CLRF%	Parity Utilization	Parity Goal
OFFICIAL/ADM PROFESSIONALS	5	0	2	2	40.0%	41.0%	2 PARITY
TECHNICIANS	32	0	17	17	53.1%	53.4%	17 PARITY
PROTECT/SRVCS	1	0	0	0	0.0%	52.0%	0
PARA-PROF	0	0	0	0	0.0%	19.5%	1 BELOW
ADMIN SUPPORT	11	0	8	8	72.7%	49.8%	0 PARITY
SKILLED CRAFT	2	0	2	2	100.0%	62.5%	5 PARITY
SERV/MAINT	0	0	0	0	0.0%	5.0%	1 PARITY
Tot Agncy Emp	51	0	29	29	0.0%	42.4%	0 PARITY

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Hawaiian/Pacific Islander

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Occupational Categories	Total Employees	Total			Percent CLF%	Parity Utilization	Parity Goal
		Males	Females	Total			
OFFICIAL/ADM PROFESSIONALS	5	0	0	0	0.0%	0.0%	*
TECHNICIANS	32	0	0	0	0.0%	0.0%	*
PROTECT/SRVCS	1	0	0	0	0.0%	0.0%	*
PARA-PROF	0	0	0	0	0.0%	0.0%	*
ADMIN SUPPORT	11	0	0	0	0.0%	0.0%	*
SKILLED CRAFT SERV/MAINT	2	0	0	0	0.0%	0.0%	*
	0	0	0	0	0.0%	0.0%	*
Tot Agency Emp	51	0	0	0			

DEPT OF FINANCIAL INSTITUTIONS  
Workforce Analysis  
Review of Calendar Year 2017  
Utilization of Multi

PAGE 9

Occupational Categories	Total Employees	Total			Percent CLRF%	Parity Utilization	Parity Goal
		Males	Females	Total			
OFFICIAL/ADM	5	0	0	0	0.0%	0.0%	*
PROFESSIONALS	32	0	0	0	0.0%	0.0%	*
TECHNICIANS	1	0	0	0	0.0%	0.0%	*
PROTECT/SRVCS	0	0	0	0	0.0%	0.0%	*
PARA-PROF	11	0	0	0	0.0%	0.0%	*
ADMIN SUPPORT	2	0	0	0	0.0%	0.0%	*
SKILLED CRAFT	0	0	0	0	0.0%	0.0%	*
SERV/MAINT	0	0	0	0	0.0%	0.0%	*
Tot Agency Emp	51	0	0	0			



## ARIZONA DEPARTMENT OF FINANCIAL INSTITUTIONS

Robert D. Charlton  
Superintendent of Financial Institutions

Douglas A. Ducey  
Governor

### **Agency 2017 Accomplishment:**

AZDFI completed a cultural diversity workshop in October of 2017 titled “Cultural Diversity in the Workplace” and facilitated by Rod Gohil, HR Business Intelligence and Infrastructure Manager. This event was also attended by The Arizona Department of Insurance and The Arizona Department of Real Estate.

In addition, all employees within AZDFI completed the state mandatory harassment training in 2017 to ensure compliance and to foster education regarding harassment behaviors in the workplace.